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FINRA Securities Industry Essentials Exam (SIE) Sample Questions (Q102-Q107):

NEW QUESTION # 102

Beta coefficient is a measure of:

- A. The liquidity of an individual stock relative to the sector average.
- **B. The volatility of an individual stock relative to the broad stock market.**
- C. The volatility of the broad stock market.
- D. Only the upside participation of an individual stock.

Answer: B

Explanation:

The beta coefficient measures the sensitivity of a stock's returns relative to the overall market (usually the S&P 500). A beta of

* 1.0 indicates the stock moves in line with the market.

* Greater than 1.0 suggests the stock is more volatile than the market.

* Less than 1.0 suggests the stock is less volatile.

* D is correct because beta specifically compares the volatility of a stock to the market.

* A is incorrect as beta does not measure the market's volatility.

* B is incorrect as beta considers both upside and downside movements.

* C is incorrect as beta does not measure liquidity.

NEW QUESTION # 103

A real estate investment trust (REIT) is required to invest what percentage of total assets in real-estate-related assets to maintain favorable tax treatment?

- A. At least 90% of total assets
- B. At least 50% of total assets
- **C. At least 75% of total assets**
- D. 100% of assets

Answer: C

Explanation:

Step by Step Explanation:

* REIT Requirements: REITs must invest at least 75% of their total assets in real estate to qualify for favorable tax treatment under IRS regulations.

* 90% Rule: Refers to the distribution requirement for taxable income, not asset allocation.

* 100% Rule: There is no requirement to allocate 100% of assets to real estate.

IRS Publication 542 (Real Estate Investment Trusts): IRS REIT Guidelines.

NEW QUESTION # 104

Which of the following is not a pass-through entity for tax purposes?

- **A. A C corporation**
- B. A limited liability company (LLC)
- C. An S corporation
- D. A real estate investment trust (REIT)

Answer: A

Explanation:

A pass-through entity does not pay corporate income taxes; instead, income is passed to owners, who report it on their individual tax returns.

* A is correct because C corporations are not pass-through entities; they pay corporate taxes.

* B, C, and D are all pass-through entities for tax purposes.

Reference: Internal Revenue Code, Subchapter S and REIT Taxation Rules

NEW QUESTION # 105

A broker-dealer (BD) is underwriting an initial public offering (IPO). According to industry rules, which of the following customers is eligible to participate in the IPO?

- **A. A customer of the BD who is the president of a local bank**

- B. An unregistered sales assistant employed by the BD
- C. The chief financial officer of a fast-food chain, whose brother is a registered representative employed by the BD
- D. The BD's branch office manager's unemployed spouse

Answer: A

Explanation:

FINRA Rule 5130 restricts participation in IPOs for certain individuals (e.g., restricted persons) to prevent potential conflicts of interest. Restricted persons include employees of broker-dealers and their immediate family members.

* C is correct because the president of a local bank is not considered a restricted person under FINRA Rule 5130.

* A is incorrect because employees (registered or not) of broker-dealers are restricted.

* B is incorrect because immediate family members of broker-dealer employees are restricted, even if unemployed.

* D is incorrect because the immediate family of a registered representative is restricted.

Reference: FINRA Rule 5130 (Restrictions on the Purchase and Sale of IPOs)

NEW QUESTION # 106

The formation of an asset-backed security or debt obligation that represents a claim on the cash flows from mortgage loans is known as:

- A. Loan processing
- B. Claim processing
- C. Securitization
- D. Hypothecation

Answer: C

Explanation:

Step by Step Explanation:

* Securitization: The process of pooling financial assets, such as mortgage loans, and creating asset-backed securities that investors can buy.

* Incorrect Options:

* B: Hypothecation refers to pledging assets as collateral.

* C & D: Loan and claim processing are administrative terms, not related to the creation of securities.

SEC Guidance on Asset-Backed Securities: SEC ABS Info.

NEW QUESTION # 107

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